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Department of Economic and  
Community Development

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State Historic Preservation Office

# REQUEST FOR PROPOSALS

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## Cultural Resources Management Consulting Services

**Issue Date: April 17, 2015**

**Due Date: May 22, 2015**

**Contract Specialist: Douglas Royalty**

**State of Connecticut**  
**State Historic Preservation Office**  
**Department of Economic and Community Development**  
**Announcement of Request for Proposals to provide**  
**Cultural Resources Management Consulting Services**  
**RFP No. 2015-SHPO-1**

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Pursuant to the provisions of Section 4a-57 of the General Statutes of Connecticut as amended, sealed proposals will be received by the State Historic Preservation Office, Department of Economic and Community Development, at the address provided in the Request for Proposal (“RFP”) for furnishing the services herein listed.

The State Historic Preservation Office, Department of Economic and Community Development, welcomes the opportunity to work with qualified consultants to provide *Cultural Resources Management Consulting Services* to the State of Connecticut as outlined throughout this RFP document.

We invite you to be part of this effort.

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## Legal Notice

The State of Connecticut, acting through its State Historic Preservation Office Department of Economic and Community Development located at 1 Constitution Plaza, 2<sup>nd</sup> Fl, Hartford, CT 06103, seeks to contract with a professional cultural resources management firm or team of firms to deliver a range of historic preservation and archaeology services related to SHPO's Disaster Relief Assistance Grant (DRAG) program. The scope of services will include: preparation of National Register nominations, identification and survey of architectural and archaeological resources, creation of a searchable database of documented historic resources, resiliency planning for communities. All primary staff assigned to the project must meet professional qualification standards for their area of expertise, if applicable, as defined in 36 CFR Part 61, Appendix A. A mandatory pre-bid meeting will take place at the SHPO office on May 7, 2015 10 a.m. The deadline for this RFP is May 22, 2015 4 p.m. The State of Connecticut is an Affirmative Action/Equal Opportunity Employer. Minority/Women's/Small Business Enterprises are encouraged to apply. For additional information please visit <http://www.cultureandtourism.org/SHPO/cwp/view.asp?a=3948&Q=528334&PM=1>

## **Request for Proposals:**

### **Cultural Resources Management Consulting Services**

#### **OVERVIEW**

The State of Connecticut, acting through its State Historic Preservation Office (SHPO), Department of Economic and Community Development (DECD), seeks to contract with a professional cultural resources management firm or team of firms to deliver a range of historic preservation and archaeology services related to SHPO's disaster relief activities.

Project Background and Goals: SHPO was awarded \$8,014,769 under Public Law 113-2, which appropriated \$50 million from the Historic Preservation Fund (HPF) for historic preservation projects providing relief for damages from Hurricane Sandy. This funding is available for historic resources in the four coastal counties: Fairfield, New Haven, Middlesex, and New London. To comply with the federal law, SHPO developed the Disaster Relief Assistance Grant program for Historic Properties (DRAG). It consists of two grant programs, one for projects completed prior to the launch of the grant program for the restoration and repair of storm-damaged historic properties and one for new projects to repair or restore historic properties affected by Hurricane Sandy.

The grant programs require that properties are listed on the National Register of Historic Places before the close of this program. The majority of the properties recommended by SHPO for funding may be eligible but are not yet listed on the National Register. Nomination forms for these resources must be completed and approved by the Connecticut State Historic Preservation Review Board and the National Park Service.

In addition, SHPO plans to document historic resources in the four eligible counties. This will include Historic Resource Inventory surveys for architectural resources, archaeological surveys, and a survey of historic dams.

To prepare for future storm events, it is important to know not only where cultural resources are located but also to have a disaster preparedness and resiliency plan for these resources. SHPO seeks to develop a document that can serve as a model not just for coastal communities but also for municipalities throughout the state. This plan will be incorporated into SHPO's next four-year preservation plan, which is required by the National Park Service.

Project Budget: The budget for this scope of services outlined in this RFP has not been finalized. SHPO anticipates it will be no less than \$2 million and could be as high as \$6 million, depending on the number of projects awarded under the DRAG program and approved by the National Park Service.

Additional information may be found on the SHPO's Hurricane Sandy Disaster Relief Assistance Grant webpage: <http://www.cultureandtourism.org/SHPO/cwp/view.asp?a=3948&Q=528334&PM=1> and <http://www.ct.gov/ctrecovers/site/default.asp>.

## SCOPE OF SERVICES, PROJECT TEAM, QUALIFICATIONS

The scope of services will include:

- Preparation of National Register nominations
- Identification and survey of architectural and archaeological resources
- Creation of a searchable database of documented historic resources
- Resiliency planning for communities

Project team: Each team must include one or more of each of the following:

- Architectural Historian
- Historian
- Archaeologist
- Historical Architect
- Certified planner

The teams may also be required to have the following professionals:

- GIS specialist
- Landscape architect
- Historical engineer

Minimum required qualifications: All primary staff assigned to the project must meet professional qualification standards for their area of expertise, if applicable, as defined in 36 CFR Part 61, Appendix A.

## TASKS, DELIVERABLES, TIME LINE

### **Task 1—National Register Nominations**

SHPO seeks the completion of National Register nomination forms for each property to be funded through the Hurricane Sandy DRAG program that is not yet listed. Nominations will include historic districts and individual properties. SHPO has currently identified ten potential historic districts in Milford and one district in Greenwich. SHPO is preparing a Multiple Property Documentation Form (MPDF) for Milford; the consultant will prepare the nominations for districts that will be submitted with the MPDF. Individual nomination forms are anticipated for properties in other communities such as Greenwich and New Haven. Consultants will be required to present at public information and State Review Board meetings as necessary.

For bidding purposes, it is anticipated that up to 30 National Register nominations -- 20 districts and 10 individual nominations -- will be required.

Deadline: Deadlines for draft nominations will be staggered in fall 2015 and winter 2016. The deadline for completed nominations in 2016 is to be determined. SHPO anticipates that at least half the nominations will be in a draft format by the end of 2015 and all nominations will be completed by the end of 2016.

### **Task 2—Documentation of Aboveground Historic Resources**

To better plan for the next storm event and to help facilitate with state and federal funding programs, SHPO will document existing historic resources within the four affected counties. SHPO requests professional surveys of structures, buildings, areas, and sites that will result in Historic Resources Inventory (HRI) forms and basic neighborhood context reports completed by qualified architectural historians. It is anticipated that this work will involve both new surveys and the updating of previous surveys. Survey forms must be submitted in hard copy and digital form. SHPO will work with the consultants to determine priority areas and anticipates the completion of up to 1,500 HRI forms.

Deadline: August 2016

### **Task 3—Development of a Searchable Database**

In an effort to improve the accessibility of existing documentation on the historic properties located within the four counties, SHPO seeks the development of a searchable database. The consultant will populate a database, designed in consultation with SHPO, with information derived from the paper files that comprise Connecticut's State Register of Historic Places nominations. It is anticipated that no more than 50,000 entries will be required to complete this task, with no more than 10 fields of information per entry. Since this task requires the use of SHPO paper files that cannot be removed from the agency's offices, all work must be completed onsite during regular business hours. The consultant will work closely with SHPO to determine the full scope of this phase.

Deadline: December 2015

### **Task 4—Resiliency Planning for Communities**

The development of a historic preservation plan for coastal Connecticut that could be inserted into SHPO's next statewide preservation plan (2016-2020) will be required. This plan should be developed in conjunction with SHPO, municipalities, regional planning organizations, and other state agencies and should include information on how the state and municipalities prepare for and react to potential storms with regard to historic resources.

Deadline: April 2016

### **Task 5—Dam Survey**

Many of Connecticut's historic dams are being threatened with removal because they are failing and considered a threat to public safety during flood events. SHPO has limited information regarding the nature and distribution of these resources. At this time, there are three sources: the United States Army Corps of Engineers National Inventory of Dams (currently unavailable), the Connecticut Department of Energy and Environmental Protection Listing of Dams, and a 1984 map titled *Connecticut Dams: A Preliminary Map Inventory*. SHPO requests that these three sources of data be cross-referenced and combined, if needed, to produce a single comprehensive database for project review. In addition, the primary goal of the existing data sets is to monitor dam safety and, thereby, ensure public safety. SHPO requests that additional information is added to the existing dataset to enable the review process. In

particular, SHPO would like to know whether there are other extant mill features; however, up to three additional categories may be added. Approximately 600 dams more than 50 years old still stand in the state, but their public accessibility is not known. SHPO requests that the consultant attempt to visit as many of these dams as possible, to record additional information and take at least one good-quality photograph. SHPO is NOT requesting a structures assessment or determination of eligibility, but a field confirmation of each dam's presence and description. Additional context regarding the assessment of these types of structures for listing on the National Register of Historic Places is greatly desired, but not required.

Deadline: September 2016

### **Task 6—Archaeological Resources**

The principal objectives of the archaeological investigation are to identify archaeological sites that have been damaged by Hurricane Sandy, evaluate their eligibility for listing in the National Register of Historic Places, and provide recommendations for future preservation of historic properties. An extensive assessment survey of the coastal and tidal wetland regions will be needed first to determine the full extent of damage to archaeological sites and then to evaluate the National Register eligibility of damaged sites according to their current conditions. The investigation will focus on state and municipal lands with some private lands, whose access can be arranged with any concurrent architectural surveys. The consultants will coordinate with appropriate government agencies to secure property access to government-owned land. For state lands or archaeological preserves where permission has been secured, SHPO will provide the necessary permit for archaeological investigations (Connecticut General Statutes 10-386). Primary consideration will be given to those locations within 1 kilometer of the Long Island Sound coastline or tidal wetlands. Finally, given the sensitive nature of the region, there is the possibility of encountering human remains during the proposed surveys. If human remains are identified, all existing applicable guidelines and laws must be followed (Connecticut General Statutes 10-388).

#### *Assessment of Impacts to Previously Recorded Archaeological Sites*

The consultant will create an inventory of previously recorded archaeological resources within 1 kilometer of the Long Island Sound coastline or tidal wetlands that may have been impacted by Hurricane Sandy. The inventory will provide a context for identifying archaeologically sensitive areas and generating a list of candidate locations to be revisited by the consultant. The sites selected for revisitation will be determined based on prior National Register eligibility determinations, potential for containing intact deposits, and access. SHPO anticipates that nearly 300 sites will be included in the inventory and that at least 50 sites will be revisited. At least four of these sites are archaeological preserves. SHPO will review the list of archaeological sites to be revisited with the consultant for approval prior to any fieldwork.

The nature of the site will determine the level of effort required to assess the impacts of Hurricane Sandy. At a minimum, the survey will include bankline surveys, where possible, and systematic pedestrian surveys. SHPO understands that some sites may require shovel testing to re-locate and that some sites may have been completely destroyed. It will be the consultant's responsibility to determine the best methodologies for determining the kind and extent of damage sustained by each of these archaeological resources from Hurricane Sandy. Archaeological preserves and sites that have already been determined eligible for listing will not be subject to additional testing. For the purposes of the proposal, the consultant should budget time to photo-document and map approximately 50 sites, complete subsurface testing of up to 15 shovel tests at no more than 30 sites, and provide updated site forms for 50 sites.

### *Assessment of Impacts to Potential Archaeological Sites*

The consultant will identify areas of archaeological sensitivity within 1 kilometer of the Long Island Sound coastline or tidal wetlands. The variables to be used are at the consultant's discretion, but they must be described in the response to this RFP. SHPO estimates that approximately 30 kilometers of coastline will be considered archaeologically sensitive and amenable to survey. Maps of the archaeologically sensitive areas to be reconnoitered should be reviewed in consultation with SHPO prior to the initiation of the field effort. For the purposes of this proposal, the consultant should anticipate the excavation of no more than 3,000 shovel test pits.

The consultant will perform a Phase I archaeological survey to locate evidence of archaeological sites damaged by Hurricane Sandy. It is expected that the reconnaissance survey will not only determine the presence of archaeological deposits, such as artifacts, features, and/or structural remnants; but also will determine the nature and extent of those deposits. The consultant can then assess the kind and extent of damage sustained by each of these archaeological resources from Hurricane Sandy. For the purposes of this proposal, SHPO estimates that 30 newly recorded archaeological sites will be identified. SHPO will assign official State of Connecticut archaeological site numbers to resources that merit this designation, and the consultant will complete the appropriate site form for each identified resource.

### *Artifact Analysis and Curation*

Artifacts will be analyzed and cataloged according to standard protocols. All artifacts, photographs, maps and field notes generated by the archaeological investigations, as well as any Geographic Information Systems (GIS) or Global Positioning Systems (GPS) data pertaining to the location of archaeological resources within the state lands shall be maintained by the Office of State Archaeology (OSA) pursuant to Connecticut General Statutes Section 10-383. SHPO prefers that the entire collection be curated with OSA. It will be the responsibility of the consultant to seek agreements to donate any artifacts recovered on private or municipal properties to OSA.

### *Final Report and Recordation*

The consultant will produce a draft technical report on the results of the prior tasks for review by SHPO. The report will locate and characterize all newly and previously reported archaeological sites, as well as an estimation of the damage they sustained from Hurricane Sandy. At a minimum, each site must have a completed inventory or updated inventory form, their location plotted on an excerpt from a USGS 7.5' quadrangle at an appropriate scale, color digital photographs of the site area, and a site map indicating the distribution of artifacts and subsurface testing, if any. The consultant will identify those sites that may be eligible for listing on the NRHP and provide recommendations for additional investigations. All reporting should be in compliance with our *Environmental Review Primer for Connecticut's Archaeological Resources*. If SHPO finds the report of investigations to be comprehensive and consistent with the requirements of this office, the Consultant should provide two final bound copies.

### **Additional Alternatives**

Additional tasks may be added to the consultant's scope of services if time and funding allow. Because the scope of these tasks has yet to be determined, SHPO requests only information regarding the firm's ability to complete the following activities:

- Phase II National Register testing and evaluation survey of archaeological sites
- Elevation Guidelines booklet

- Underwater survey assessment of known wreck sites
- Meaningful public outreach component
- Technical planning assistance to shoreline communities
- Creation of a Geographic Information System for information collected or modified as part of this RFP

## CONTRACT TIME LINE\*

Bid Posting Date—April 17, 2015

Inquiry Period—April 17-May 11, 2015

Mandatory Bid Meeting—May 7, 2015 10:00-noon

RFP Due Date—May 22, 2015 4:00 p.m.

Contract Award Date—June 12, 2015

Project Startup Meeting—week of June 15, 2015

Project Completion—December 31, 2016

\*dates for specific deliverables will be determined after contract award

## PROPOSAL REQUIREMENTS

### I. Contract Period

The State intends that this contract shall expire on December 31, 2016.

### II. Pre-Meeting Requirements

A mandatory meeting will be held at the State Historic Preservation Office, 1 Constitution Plaza, 2<sup>nd</sup> floor, Hartford, Connecticut, on May 7, 2015 from 10 a.m.-noon. One representative from each project team must attend this meeting. Managers or senior staff who will be responsible for the project are encouraged to attend.

### III. Contract Award

DECD reserves the right to award this Contract in a manner deemed to be in the best interest of the department.

This RFP is not a contract and, alone, shall not be interpreted as such. Rather, this RFP serves only as the instrument through which proposals are solicited. The state will pursue negotiations with the highest-scoring proposal. If, for some reason, DECD and the initial proposer fail to reach consensus on the issues relative to a contract, DECD may commence contract negotiations with other proposers. DECD may decide at any time to restart the RFP process.

Thereafter, Proposers will be required to sign a formal contract. The contract may include a liquidated damages clause at the discretion of the State.

#### **IV. Stability of Proposed Prices**

Any price offerings from proposers must be valid for a period of 180 days from the due date of the proposals.

#### **V. Amendment or Cancellation of the RFP**

DECD reserves the right to cancel, amend, modify, or otherwise change this RFP at any time if it deems it to be in the best interest of the State to do so.

#### **VI. Proposal Modifications**

No additional or changes to any proposal will be allowed after the proposal due date, unless such modification is specifically requested by DECD. DECD, at its option, may seek proposer retraction and/or clarification of any discrepancy or contradiction found during its review of proposals.

#### **VII. Proposer Presentation of Supporting Evidence**

Proposers must be prepared to provide any evidence of experience, performance, ability, and/or financial surety that DECD deems to be necessary or appropriate to fully establish the performance capabilities represented in their proposals.

#### **VIII. Proposer Demonstration of Proposed Services and/or Products**

At the discretion of DECD, proposers must be able to confirm their ability to provide all proposed services. Any required confirmation must be provided to DECD without cost to the State.

#### **IX. Erroneous Awards**

The DECD reserves the right to correct inaccurate awards. This may include, in extreme circumstances, revoking the awarding of a contract already made to a proposer and subsequently awarding the contract to another proposer.

**X. Proposal Expenses**

Proposers are responsible for all costs and expenses incurred in the preparation of proposals and for any subsequent work on the proposal that is required by DECD.

**XI. Ownership of Proposals**

All proposals shall become the sole property of the State and will not be returned.

**XII. Ownership of Subsequent Proposals**

Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP shall be the sole property of the State unless otherwise stated in the contract.

**XIII. Oral Agreement or Arrangements**

Any alleged oral agreements or arrangements made by proposers with any State agency or employee will be disregarded in any State proposal evaluation or associated award.

**XIV. Subcontractors**

DECD must approve any and all subcontractors utilized by the successful proposer prior to any such subcontractor commencing any work. Proposers acknowledge by the act of submitting a proposal that any work provided under the contract is work conducted on behalf of the State and that the Commissioner of DECD or her designee may communicate directly with any subcontractor as the State deems to be necessary or appropriate. It is also understood that the successful proposer shall be responsible for all payment of fees charged by the subcontractor(s). The successful proposer shall provide a performance evaluation of any subcontractor promptly to DECD upon request. The successful proposer must provide the majority of services described in the specifications.

**XV. Payment Schedule**

A payment schedule will be developed after contract award and will be tied to the completion of specific project milestones.

## SELECTION CRITERIA

A selection committee will review and score all proposals. SHPO reserves the right to develop a short list of candidates to interview prior to selection. The following information, in addition to the requirements, terms and conditions identified throughout this RFP Document, will be considered as part of the Selection process **and are listed in order of relative importance.**

1. Soundness of the proposal to meet the scope of work and produce the deliverables
2. Qualifications
  - a. Experience in successfully completing similar projects of this scale
  - b. Experience in Connecticut and with coastal resources
  - c. Professional qualifications of staff and assignment of staff to each task
  - d. Demonstrated ability to manage and administer projects of this nature
  - e. Demonstrated ability to work as a team in the execution of a complex project with aggressive task schedules
3. Value
4. Capacity of lead firm and team
5. References

## INSTRUCTIONS TO PROPOSERS

### I. Proposal Schedule\*

Bid Posting Date—April 17, 2015

Inquiry Period—April 17-May 11, 2015

Mandatory Bid Meeting—May 7, 2015 10:00-noon

RFP Due Date—May 22, 2015 4:00 p.m.

Contract Award Date—June 12, 2015

Project Start-Up Meeting—week of June 15, 2015

Project Completion—December 31, 2016

\*dates for specific deliverables will be determined after contract award

During the period from your organization's receipt of this Request for Proposals, and until a contract is awarded, your organization shall not contact any employee of the State of Connecticut for additional information, except in writing, directed to the State Historic Preservation Office, Department of Economic and Community Development, ATTN:

Douglas Royalty, State Historic Preservation Office, One Constitution Plaza, 2<sup>nd</sup> Floor,  
Hartford, CT 06103

## **II. Questions**

Questions for the purpose of clarifying the RFP must be raised during the Pre-Proposal Meeting or submitted to DECD and received by DECD no later than 4 p.m. of May 11, 2015. DECD will provide written documentation of all submitted questions and agency responses to every bidder who attended the Pre-Proposal meeting by close of business on May 13, 2015.

Questions must be delivered via mail to:

State Historic Preservation Office  
Department of Economic and Community Development  
ATTN: Douglas Royalty  
RFP 2015-SHPO-1  
One Constitution Plaza, 2<sup>nd</sup> Floor  
Hartford, CT 06103

## **III. Sealed Proposals**

Proposals must be submitted in a SEALED envelope or carton, clearly marked with “RFP 2015-SHPO-1,” the date, and the name and address of the proposer. All proposals must include original signature documents. The envelope must be clearly marked “SEALED PROPOSAL DO NOT OPEN.” An electronic copy of this proposal (on disk or drive) must accompany the submission in the sealed package. Any material that is not so received may be opened as general mail, and result in invalidating the proposer’s submission. Facsimile, emailed, or unsealed proposals will not be accepted under any circumstances. Proposals received after the deadline will be rejected.

# SUBMITTAL REQUIREMENTS

## I. Applicable Content

Project narrative on how the consultant proposes to meet the scope of work and produce the deliverables.

## II. Business Information

- a. Name of lead firm and primary contact information
- b. Organizational chart of the project team
- c. Summary of qualifications for each firm that will be part of the consulting team
- d. List of individual staff assignments by general task
- e. Resumes of the key staff assigned to the contract, demonstrating CFR qualifications
- f. Brief business history outlining length of time in business
- g. Past two (2) years of financial statements for primary firm
- h. Required forms
  - a. Commission on Human Rights and Opportunities Notification to Bidders
  - b. Affirmation of Receipt of State Ethics Laws Summary
  - c. Iran Certification
  - d. Consulting Agreement Affidavit
  - e. Nondiscrimination Certification Affidavit by Entity
  - f. Nondiscrimination Certification New Resolution by Entity
- i. Project Summary completed by primary firm for three projects that most closely match the current RFP
- j. Three (3) Client References for primary firm. Please provide the following information for each reference:
  - Name of company, contact name, telephone number, and description of work provided. *Should proposers wish this information to be considered confidential, this information should be placed in a sealed envelope marked "Confidential." This information will not be made viewable to the public and will only be reviewed by the evaluation committee.*

## III. Value

The cost proposal should represent the firm's understanding of the requirements of this RFP and the ability to perform the described Tasks 1 through 6 in an efficient and effective manner. The evaluation of the cost proposal will be based on the realism and completeness of the information provided in the response. A not-to-exceed maximum budget that includes all direct and indirect costs for each task shall be submitted. The labor categories, rates, and estimated hours should indicate which hours are to be completed by the prime contractor and/or subcontractors. As stated above, SHPO anticipates the expenditure of \$2 million to \$6 million as part of this RFP. SHPO

considers Tasks 1 through 6, in no particular order, of primary concern and expects to be able to fund them as described. To assist SHPO in evaluating the possibility for services related to the additional alternatives, respondents are asked to provide a rate sheet for labor categories and other costs that may be called upon.

#### **IV. Delivery**

Provide a chart showing the timing of task milestones and submittal of deliverables. At this time, SHPO expects all work related to this RFP to be completed by December 31, 2016.